

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C.371**ATTORNEY DOCKET NUMBER  
MCW 01US

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

09/890668

INTERNATIONAL APPLICATION

PCT/GB00/00322

INTERNATIONAL FILING DATE

07 February 2000 (07.02.00)

PRIORITY DATE CLAIMED

05 February 1999 (05.02.99)

TITLE OF INVENTION

**WAVEGUIDE FOR AN OPTICAL CIRCUIT AND METHOD OF FABRICATION THEREOF**

APPLICANT(S) FOR DO/EO/US

**Paulo Vicente DA SILVA MARQUES et al.**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C.371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)).
4. ☐ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
- a. ☐ is attached hereto (required only if not communicated by the International Bureau).
- b. ☒ has been communicated by the International Bureau.
- c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
- a. ☐ are attached hereto (required only if not communicated by the International Bureau).
- b. ☐ have been communicated by the International Bureau.
- c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
- d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). **(unexecuted) (4 Sheets);**
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98 **(2 sheets) with Form PTO-1449 (1 sheet);**
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included
13. ☒ A **FIRST** preliminary amendment **(7 sheets) (along with version of markings to show changes (5 sheets));**
- ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: **Transmittal Letter (2 sheets); PCT International Published Application (WO 00/46618) (with International Search Report) (41 sheets); International Preliminary Examination Report (18 sheets); Check in the amount of \$1530.00 (Filing Fee) based on large entity; Certificate of First Class Mailing (1 sheet); and Return Postcard.**

17 ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5) ) (a/o November 1, 2000):**

Neither international preliminary examination fee (37 CFR 1.482)  
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
and International Search Report not prepared by the EPO or JPO.....\$1000

International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search Report prepared by the EPO or JPO .....\$860

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but  
international search fee (37 CFR 1.455(a)(2)) paid to USPTO .....\$710

International preliminary examination fee paid to USPTO (37 CFR 1.482)  
but all claims did not satisfy provisions of PCT Article 33(1)-(4).....\$690

International preliminary examination fee paid to USPTO (37 CFR 1.482)  
and all claims satisfied provisions of PCT Article 33(1)-(4).....\$100

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☒ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$130.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	50-20 =	30	X \$18.00
Independent claims	2-3 =	0	X \$80.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ 270.00

\$540.00

\$

TOTAL OF ABOVE CALCULATIONS =

\$1530.00

☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above  
are reduced by 1/2.

\$

SUBTOTAL =

\$

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE =

\$

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$

TOTAL FEES ENCLOSED =

\$1530.00

Amount to be  
refunded

\$

charged

\$

- a. ☒ Checks in the amount of \$ 1530.00 to cover the above fees are enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit  
any overpayment to Deposit Account No. 12-0080. A duplicate copy of this sheet is enclosed.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR  
1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Anthony A. Laurentano, Esq.  
LAHIVE & COCKFIELD, LLP  
28 State Street  
Boston, Massachusetts 02109  
United States of America  
(617)227-7400

Date: 03 August 2001

SIGNATURE

NAME

Anthony A. Laurentano

38,220

REGISTRATION NUMBER

09/890668

IN THE UNITED STATES PATENT DESIGNATED OFFICE (DO/US)  
(National Phase of International App.: PCT/GB00/00322, W/O 00/46618)

In re the application of:

**Paulo Vicente DA SILVA MARQUES et al.**

International Application No.: **PCT/GB00/00322**

International Filing Date: **07 February 2000**

U.S. Serial No.: **Not Yet Assigned**

Filed: **Herewith**

For: **WAVEGUIDE FOR AN OPTICAL CIRCUIT  
AND METHOD OF FABRICATION THEREOF**

Attorney Docket No.: **MCW-001US**

**BOX PCT**

Commissioner for Patents  
Washington, D.C. 20231

Certification Under 37 CFR 1.10

I hereby certify that the attached: Transmittal Letter (2 sheets); Preliminary Amendment (7 sheets (along with version of markings to show changes (5 sheets))); Unexecuted Declaration, Petition and Power of Attorney (4 sheets); PCT International Published Application (WO 00/46618) (with International Search Report) (41 sheets); International Preliminary Examination Report (18 sheets); Information Disclosure Statement (2 sheets); Form PTO-1449 (1 sheet); check in the amount of \$1530.00 (Filing Fee) based on large entity; Certificate of Express Mailing (1 sheet); and Return Postcard are being deposited by me with the United States Postal Service "Express Mail Post Office to Addressee" service, Mailing Label No. **EL 916 825 518 US**, under 37 CFR 1.10 on the date indicated below and is addressed to the Box PCT, Commissioner for Patents, Washington, D.C. 20231.

Date: 03 August 2001

Name: Vinny Cardoso

Signature: 